



DEPARTMENT OF THE NAVY
SPACE AND NAVAL WARFARE SYSTEMS COMMAND
4301 PACIFIC HIGHWAY
SAN DIEGO, CA 92110-3127

SPAWARINST 4200.29
SPAWAR 02-4

JAN 03 2001

SPAWARINST 4200.29

From Commander, Space and Naval Warfare Systems Command

ACQUISITION PLANNING

- (a) Federal Acquisition Regulation (FAR) Subparts 7.105, 7.106 and 7.107
- (b) Defense Federal Acquisition Regulation Supplement (DFARS) subparts 207.105 and 207.106
- (c) Navy Acquisition Procedures Supplement (NAPS) Subpart 5207.103
- (d) SPAWAR Contract Policy and Procedures Manual, Part 1
- (e) ASD (C31) memorandum "Information Technology (IT) Investment Management Insight Policy for Acquisition" of 27 Jul 97

- (1) Sample Acquisition Plan (AP) format
- (2) List of Sole Source Service Procurements Exceeding \$25,000

1. Purpose. To provide policy and guidance on the content and approval requirements for acquisition plans for SPAWAR Headquarters, Systems Centers and other SPAWAR activities.

2. Cancellation. SPAWARINST 4200.26A, Chapter 3 of 7 February 1994, is hereby cancelled.

3. Background. Activities are authorized to established detailed planning systems that generally meet the acquisition planning requirements of references (a) and (b). The dollar threshold for submitting written acquisition plans is established by reference (b) and is not changed by this instruction. Reference (b) currently requires written plans when the total cost of all contracts for an R&D program is estimated at \$5 million or more, or when the total cost of all contracts for other programs is estimated at \$30 million or more for all years or \$15 million or more for any fiscal year.

4. Policy. The principal purpose of acquisition planning is to ensure that the Government meets its needs in the most effective, economical and timely manner. SPAWAR's written acquisition plans achieve these objectives by focusing on competition and the acquisition of commercial items or non-developmental items. In order to facilitate this focus, the topics addressed in written acquisition plans are strictly limited, but the scope of coverage is broadened to include all acquisitions under the cognizance of the program manager. References (a), (b) and (c) list additional topics which, when relevant, should be addressed in other documents maintained by the Program Office/Technical Code and/or Contracting Office.

5. Procedures

a. General

(1) A program office should prepare a single AP covering all its procurements and inter/intra-agency acquisitions. If a program has several acquisitions that need to be individually addressed, these should generally be grouped. The intent of this instruction is that, where practicable, each PMW or comparable SSC organizational unit will submit a single plan covering all its acquisitions.

(2) Acquisition planning should be accomplished with in-house resources to minimize the potential for Procurement Integrity Act violations and Organizational Conflicts of Interest. Contractor support services may not be used in support of acquisition planning or in the development of APs unless prior written approval is obtained from the cognizant Contracting Officer after consultation with SPAWAR Office of Counsel. If an AP is required by this instruction, no RFP for any contemplated contract associated with any program may be released prior to approval of that AP by the HCA. Representatives of SPAWAR 02, 05, 08, and 00K shall concur with the contents of HQ APs prior to submission to the HCA for approval. For SSC/ITC APs, each field activity will maintain its own internal routing/approval process prior to submission to the HCA for approval. Additionally, the AP should be coordinated, where applicable, with the cognizant Program Manager at HQ. Cognizant Program Managers/ Technical Codes are responsible for obtaining necessary approvals and concurrences.

(3) APs shall be signed by the Procuring Contracting Officer and approved by the HCA. For SPAWAR Headquarters acquisitions, the Program Director (or the cognizant staff code head) and the Executive Director for Contracts shall sign the AP. For SSC/ITC acquisitions, the Commanding Officer and the Chief of the Contracting Office of those activities shall sign the AP.

b. Format. Format for APs may be found in enclosure (1). Additionally, reference (d) contains sample APs and AP templates.

c. Content

(1) APs submitted for Head of Contracting Activity approval shall discuss the following topics for each procurement at or above the dollar threshold: (1) competition, (2) funding and (3) engineering strategy. References (b) and (c) do not require APs for a final buy out, one-time buys, or commercial item procurements; consequently, single requirements of this type which meet or exceed the AP threshold do not in themselves count toward the threshold for a written AP. However, if the program office is otherwise required to submit an AP, that AP should address final buyouts, one-time buys, and commercial item procurements which exceed the threshold.

(2) Program-Wide APs. The AP submitted for HCA approval shall be a concise document, generally three to five pages in length, and shall include all known acquisitions, including those planned to be obtained from other activities or agencies. The following information should be included:

(a) Competition. Describe the item to be acquired and the proposed contract type, discuss any anticipated problems in obtaining sufficient competition (including, if applicable, the responses to prior solicitations) and provide the planned date of solicitation issuance. In addition, if the equipment requires development, address the results of market research conducted to identify non-developmental items that could potentially meet the Government's need. Address the impact on small business, including bundling. If a procurement is planned as sole source, provide the following additional information:

(1) Primary reason for the sole source. Do not exceed two paragraphs. The contracting officer should assist in preparing this justification.

(2) Procurement history. List the most recent contracts with quantities and dollar amounts, state how many years of requirements have been procured on a sole source basis and briefly describe the initial competition(s), if any.

(3) Plans to obtain competition. Estimate future requirements, discuss plans to obtain competition in the future and describe any market research done or planned to support future competition.

(b) Funding. Known funding should be described by fiscal year and by type of funds. Funding shortfalls should be highlighted and plans to obtain additional funding discussed.

(c) Engineering strategy. The relevant issues addressed under this heading will vary with the equipment or services being procured and with the current DoD/Navy/Command initiatives and concepts. First, compliance with any "overarching" technical or management issues must be addressed. For example, if the contract is for services this section would address the use of Command-wide vehicles while protecting the small business community. Second, this section should discuss the extent to which the requirement will utilize performance-based specifications and statements of works, as well as the status of any required Milestone Decision Authority approvals of the use of MILSPECs and Standards.

(d) Other. Include a statement that all relevant acquisition planning topics required to be considered by references (a) through (c) have been addressed and that the program office maintains the appropriate documentation on file.

(3) Sole Source Service Contracts Commander, SPAWAR requires approval of all sole source contracts for services exceeding \$25,000. The preferred vehicle for obtaining this approval is to include such contracts with APs submitted for approval, utilizing the enclosure (2) format.

SPAWARINST 4200.29

January 03 2001

(4) Acquisition Plans for single contracts. When possible, SPAWAR acquisition plans are to be prepared for entire program offices. However, an Acquisition Plan (Single Contract) may be prepared when appropriate. In certain cases, one contract may satisfy the requirement of multiple programs. In such cases an Acquisition Plan (Single Contract) may be prepared for that contract, or that contract may be included in the Program AP of the primary user. Multi-program contracts for which APs are not required (because no covered program triggers the threshold) shall be approved in accordance with the procedures of this instruction if they exceed \$50 million. A contract that satisfies requirements for multiple programs generally does not have well-defined funding. In such cases, the funding discussion required by paragraph 5.c.(1)(2) should include an estimate, and known or highly likely requirements should be identified or summarized. However, detailed funding information is neither required nor expected.

d. IT Oversight Requirements. See reference (e). The thresholds in reference (e) refer to contract totals, not to program totals or total dollars covered by the AP. SPAWAR 08 is responsible for this review and should be informed to begin early coordination if the AP contains significant IT requirements.

e. Changes to Acquisition Plans. At a minimum, the AP shall be reviewed annually. When a monthly program briefing is approved by the HCA the contents of which are inconsistent within an existing AP for that program, the program office shall revise the contents of the AP to reflect the changes approved by the HCA at that monthly program briefing. The following events require that the AP be revised and approved by the HCA:

(1) Changing a contract from competitive to sole source (not applicable to contracts below threshold).

(2) Separately contracting for a requirement over \$100,000 planned to be included in Command omnibus contracts.

(3) Increasing the amounts covered by the plan if the dollar amount of the plan increases by 25% or more.

(4) Changing a requirement covered by a major contract from commercial to non-commercial items.



K. D. SLAGHT

Rear Admiral, U.S. Navy

Distribution:
SPAWAR List 4
SNDL Part II
FKQ 10 (SPAWAR Systems Centers)

AP NO:

SCOPE OF THE AP

Provide a concise description of the program(s), project(s), or contract actions covered by the AP.

APPROVED BY:

DATE

EXECUTIVE DIRECTOR FOR CONTRACTS/
CHIEF OF CONTRACTING OFFICE

DATE

PROCURING CONTRACTING OFFICER

DATE

PROGRAM DIRECTOR/COMMANDING
OFFICER

DATE

Questions concerning this AP should be referred to

January 03 2001

(Preparers may address all acquisitions together in a section, or may discuss each topic individually for each procurement, whichever method more clearly presents the information)

A. COMPETITION

For each acquisition individually described in the AP, provide a brief description of what is being acquired, the results of any market research conducted, when the solicitation is expected to be issued, and any significant impact on small business. Include additional information for sole source acquisitions explaining why a sole source is proposed, discussing the prior contracting history, if any, and outlining what will be done to obtain competition in the future.

Conclude the discussion of competition with a summary paragraph somewhat as follows

The percentage of competition for all procurements addressed in this acquisition plan is XX%.

Procurements below \$1M:	# _____	\$ _____ total	% \$ competed
Procurements \$1M and over	# _____	\$ _____ total	% \$ competed

B. FUNDING

Provide a chart setting forth funding for each procurement by amount, year, and type of funds. Identify shortfalls and what will be done about them. If the contract is IDIQ, instead provide estimated amounts by fiscal year and briefly explain the basis for the estimates.

C. ENGINEERING STRATEGY

This section addresses Command-wide considerations that may exist on individual procurements.

Enclosure (1)

SPAWARINST 4200.29
January 03 2001

List of Sole Source Procurements for Services exceeding \$25,000

<u>Requirement</u>	<u>Contractor</u>	<u>\$ Amount</u>	<u>Planned Award</u>	<u>Why Sole Source</u>
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Enclosure (2)